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UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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Paper Number 14

In re application of

Randell L. Mills.

Serial No. 09/501,621

Filed: February 9, 2000

For: DOPED THERMIONIC CATHODE AND METHOD OF MAKING A DOPED
THERMIONIC CATHODE

DECISION ON
PETITION

This is a decision on the PETITION UNDER 37 CFR 1.181 TO WITHDRAW THE FINALITY OF
THE OFFICE ACTION mailed August 7, 2001.

On January 12, 2001, a non-final office action was mailed to applicant (paper no. 3). The office action contained a rejection of all the claims under 35 USC 101 as lacking utility, 35 USC 112, first paragraph as lacking enablement and 35 USC 112, second paragraph as being indefinite.

A reply to the office action was filed by Applicant on July 10, 2001. In the reply, no amendments were made to the claims. Applicant presented arguments in an attempt to overcome the aforementioned rejections. Additionally, a supplemental amendment was filed on July 13, 2001 correcting the dependency of several of the claims.

On August 7, 2001 a final office action was mailed (paper no. 11). All of the previous grounds of rejection were maintained.

Petitioner has argued that the finality of the last office action is improper. Petitioner argues that the finality is premature due to the introduction of new grounds of rejection that were neither necessitated by amendment of the claims, nor based on information submitted in an information disclosure statement. Additionally, it is argued that a clear issue between applicant and examiner has not been developed.

DECISION

The non-final office action mailed January 12, 2001 contained rejections over claims 1-271 under 35 USC 101 and 35 USC 112, first and second paragraphs. The office action presented arguments as to why the claims lack utility and enablement under the appropriate statute. Applicant's response to this office action, filed July 10, 2001 attempted to rebut the positions set forth in the January 12, 2001 office action. In the final office action mailed August 7, 2001, the examiner maintained the previous grounds of rejection of claims 1-271 and specifically referred back to non-final office action for the reasoning behind the rejections (see final office action, page 2, lines 17 and 22-23). In addition, the examiner responded to Applicant's arguments in a separate section (see final office action - Attachment). In the attachment, the examiner addressed the arguments set forth by Applicant in the response filed July 10, 2001. As to the first issue of premature finality, the MPEP states the following:

706.07(a) Final Rejection, When Proper on Second Action

Under present practice, second or any subsequent actions on the merits shall be final, except where the examiner introduces a new ground of rejection that is neither necessitated by applicant's amendment of the claims nor based on information submitted in an information disclosure statement filed during the period set forth in 37 CFR 1.97(c) with the fee set forth in 37 CFR 1.17(p)

In the instant case, no new ground of rejection was applied by the examiner in the final office action. The 35 USC 101 and 112, first and second paragraph rejections were the same as those in the previous non-final action (in fact the examiner refers back to the previous office action for the reasoning in making the rejections). The arguments put forth by the examiner do not constitute a new ground of rejection in that they merely respond to arguments presented by applicant and do not change the basis for the rejections (i.e. the rejections are still based on lack of novelty and enablement as set forth in the previous office action).

As to the second issue of premature finality, the MPEP states the following:

Before final rejection is in order a clear issue should be developed between the examiner and applicant.

In the present case, a clear issue has in fact been developed between the examiner and applicant. In the non-final action mailed January 12, 2001, the only grounds of rejection were the 35 USC 101 and 35 USC 112, first and second paragraph rejections mentioned above. The examiner set forth reasoning to support these rejections. Applicant then replied to the rejections and the positions of the examiner. The rejections were maintained in the final office action and the examiner answered the arguments filed by applicant relating to the issue of whether the claims were lacking in utility and enablement. The issues in the present application are clear - whether the claims lack utility and are enabled to one of ordinary skill in the art.

Accordingly, the examiner properly made the August 7, 2001 Office action final.

The Petition is **DENIED**.



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